



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/663,664	09/15/2000	David M. Chess	YOR920000457US1(13807)	2186

7590 08/26/2005

Richard L Catania
Scully Scott Murphy & Presser
400 Garden City Plaza
Garden City, NY 11530

EXAMINER

COLIN, CARL G

ART UNIT	PAPER NUMBER
----------	--------------

2136

DATE MAILED: 08/26/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/663,664

Applicant(s)

CHESS ET AL.

Examiner

Carl Colin

Art Unit

2136

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 08 June 2005.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-22 and 25-44 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-22, 25-44 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 15 September 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ | 6) <input type="checkbox"/> Other: _____ |

20

DETAILED ACTION

Continued Examination Under 37 CFR 1.114

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 4/20/2005 has been entered.

Response to Arguments

2. In response to communications filed on 6/8/2005, applicant has amended claims 1, 31, 33, 34, 37, and 40; and has cancelled claims 23-24 and has added claims 43-44. The following claims 1-22, 25-44 are presented for examination.

2.1. In response to communications filed on 6/8/2005, the 112 rejection to claim 34 has been withdrawn in view of the amendment.

3. Applicant's remarks, pages 15-18, filed on 6/8/2005, with respect to the rejection of claims 1-42 have been fully considered, but they are not persuasive. Applicant argues that Iwamura teaching uses shared secrets and there is no means for any party to verify that information at the other end is protected whereas the invention uses public key. Examiner respectfully disagrees. Iwamura discloses in column 9, lines 20-67 "the agency provides to the

Art Unit: 2136

user and the shop with a digital signature generating and verification means for generating a signature key and a verifying key by use of public key cryptogram”. +Applicant amends the independent claims to add the limitation of “to authenticate” interactions between the client and the server. By adding the above limitations to the independent claims, applicant has not overcome the rejection of the independent claims. Applicant adds new dependent claims 43 and 44 with new limitations to incorporate the use of SSL certification authority, which is also well known in the art. Upon further consideration, a new ground of rejection is made. The rejection of the dependent claims not challenged by applicant still applies in this office action.

Claim Objections

4. Claim 44 is objected to because of the following informalities: on page 14, last line “indicating that ht client has properly authenticated” needs to be revised. Appropriate correction is required.

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to

Art Unit: 2136

which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5.1 **Claims 1-5, 7-23, 26-42** are rejected under 35 U.S.C. 103(a) as being unpatentable over US Patent 6,453,296 to **Iwamura** in view of Non-Patent Literature: **Wilhelml, U., et al.**

"Introducing Trusted Third Parties to the Mobile Agent Paradigm" Institute pour les Communications informatiques et leurs Applications, Ecole Polytechnique Fédérale de Lausanne, 1015 Lausanne, Switzerland, Pages 1-21.

5.2 **As per claims 1, 2, 4, 7, 31, 33, 34, 35, 37, 38, 40, and 41, Iwamura** substantially teaches a method, comprised of enhancing a computational service to each client of a plurality of clients, by: moving a selected portion of a computation from a server into a trusted co-server; and allowing each client to interact with the server and the co-server, for example (see column 4, lines 21-52 and column 9, lines 20-67). **Iwamura** further teaches multiple parties interaction (see column 3, lines 45-67). **Iwamura** discloses several embodiments where the agency is used as a trusted third party in interactions between the client and the server. For example, column 9, lines 32-35 recite that the agency provides the user and the shop with signature key and verification means; and user and shop (server) generate signature key and verifying key by use of a public key cryptogram (column 9, lines 20-65) **Iwamura** discusses in (column 9, lines 50-67) the digital signature verifying keys generating by the agency for both the user and the server. **Iwamura** further discloses in (column 10, lines 19-67) interactions between the user and the server using the agency as a trusted third party wherein the co-server executes so that parties can

Art Unit: 2136

authenticate and trust the correct execution of the co-server as claimed in claim 34. Regarding claim 37, **Iwamura** discloses the limitation of the co-server carrying out a function on inputs such that the parties trust interactions between the parties and the server (column 11, lines 15-45). In columns 9-10, the agency is used as a trusted third party to authenticate the interactions between both parties: user and shop (server). **Iwamura** does not explicitly disclose that the trusted co-server is executing inside a secure coprocessor. Secure coprocessors are well known in the art for providing tamper resistant hardware protection. **Wilhelml et al.** in an analogous art teaches moving computation from a server into a trusted co-server controlled by an operator, executing inside a secure coprocessor to provide a trustworthy environment, for example (see sections 5-6). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the method of **Iwamura** to move a selected portion of a computation from a server into a trusted co-server in order to provide a trustworthy environment as taught by **Wilhelml et al.** This modification would have been obvious because one skilled in the art would have been motivated by the suggestions provided by **Wilhelml et al.** so as to provide a trustworthy environment.

As per claims 3, 5, 39, and 42, Iwamura discloses the limitation of wherein said step of allowing includes enabling said client an authenticated, private channel to said co-server, for example (see column 3, line 45 through column 4, line 52). **Iwamura** discloses the client authenticates the co-server, the client sends its input to the co-server over a private channel, such as one established by encryption with a shared secret key, the co-server sends its output to said

Art Unit: 2136

another party over a private channel, such as one established by encryption with a shared secret key, for example (see columns 10-11 and summary).

As per claims 8 and 9, Iwamura discloses the limitation of wherein said step of enhancing includes providing a desired security and/or privacy property, wherein said step of enhancing includes providing at least one security and/or privacy property to an application selected from the group including: authentication of clients, nonrepudiation of client activity, nonrepudiation of server activity, credit card transaction security, taxes on e-commerce activity, re-selling of intellectual property, privacy of sensitive or proprietary web activity, correctness of web activity, enforcement of logo and/or "seal of approval" licenses, safety of downloadable content, authenticity of downloadable content, integrity of server machine, and any combination of these, for example (see column 1, line 40 through column 3, line 15; and column 3, line 45 through column 4, line 52).

As per claims 10-12, Iwamura discloses co-server algorithm that generates output that includes a signed statement using a private key known to the co-server and discloses authenticating both the client and the server, for example (see columns 9-10). **Wilhelml et al.** discloses generating output based on current agent state that meets the recitation of wherein input from said client is prompt from server for the user's private authenticator data, such as a password, input from said server is this authentication data, co-server algorithm, that generates output to said client based on said current co-server state and said inputs indicates whether or not the authenticator data is correct for this user, and generates output to said client based on said

current co-server state and said inputs includes a signed statement, using a privacy key known to the co-server, attesting, for the client, that the server engaged in an interaction satisfying certain properties, for example (see sections 2.1 and 4.3). Therefore, these claims are rejected on the same rejection as claim 1.

As per claims 13-16, Iwamura discloses the limitation of wherein: the client's input includes a credit card number (CCN), the output co-server algorithm that generates output to said client based on said current co-server state and said inputs includes the CCN, encrypted so that the server cannot read it but an acquirer can and wherein the server includes a transaction amount, the output co-server algorithm that generates output to said client based on said current co-server state and said inputs includes the transaction amount, cryptographically bound to the encrypted CCN so that the server cannot alter it, for example (see column 9, line 21 through column 10). **Iwamura** further discloses protecting the client personal information and the server information using cryptography and time stamping so that data can be transmitted to the acquirer in such a manner so that the acquirer can receive this transaction exactly once, for example (see column 10, line 50 through column 11 and column 12, lines 15-51). **Wilhelml et al.** also discloses generating output to said client based on said current co-server state and said inputs includes the transaction amount, cryptographically bound to the encrypted CCN so that the server cannot alter it encrypting information. Therefore, these claims are rejected on the same rejection as claim 1.

As per claims 17 and 20, Iwamura discloses a remote party is an owner of intellectual property, the server input includes part of this property and generating output that includes portion of input from said client that the limitation of where: a remote party is an owner of intellectual property, the server input includes part of this property, encrypted so that only the co-server can decrypt it, the output function co-server algorithm that generates output to said client based on said current co-server state and said inputs to the client includes a portion of the decryption of input from said client, for example (see columns 9-12). For instance, column 11, lines 30 et seq. discloses an example of output to client that includes unencrypted portion and encrypted information. Column 10 shows a portion of decryption of input that is re-encrypted. **Wilhelml et al.** discloses the limitation of except the output function now includes a portion of the decryption of input from said server, re-encrypted, possibly with rights management rules, in a manner that a secure coprocessor at the client site can decrypt it, for example (see sections 5.1-5.2). Therefore, these claims are rejected on the same rejection as claim 1.

Claims 18-19 recites similar limitations as claims 13-16 except for generating a transformation using a watermark or reducing the quality of plaintext. Such method of hiding information is well known in the art. Using such method does not depart from the spirit and scope of the invention disclosed by the above references.

As per claim 21, Iwamura discloses the limitation of wherein: the client input includes a choice of which record R in a set of records the client would like to receive, the co-server includes this record R in its response to the client, however, the co-server obtains R in such a

way as the server does not know which record was the one selected, for example (see column 10, lines 39-67 and column 11).

As per claims 22 and 28, Iwamura discloses the limitation of wherein: a remote party establishes a content evaluation scheme, consisting of an evaluation function mapping content to some set of indicators, and as part of computing the client output function co-server algorithm that generates output to said client based on said current co-server state and said inputs, the co-server calculates, or verifies an external calculation, of the evaluation function and includes the result in the client output, for example (see columns 10-11). **Iwamura** discloses verifying a charge and includes the result in client output. See also columns 8-9 for interaction between the devices.

As per claim 26, Iwamura discloses the limitation of using a secure channel and protecting user information and details of the transaction that meets the recitation of where party the remote party has injected evaluation function and/or some of its parameters into the co-server through a private channel, so that the server cannot know the details of the evaluation function execution occurring on the co-server, for example (see column 8, lines 20-45).

As per claim 27, Iwamura discloses the limitation of where the server input includes both content and a signature on the content, from one of possibly many content providers, and the evaluation function includes testing whether the signature is valid, for example (see column 8, lines 50 et seq.).

As per claims 29, 32, and 36, Wilhelml et al. discloses security actions against another server that meets the recitation of where: the co-server has the ability to carry out security-enhancing actions against the server, such as booting the server and securely or carrying out a security scan of the server, the output returned to client indicates which of these actions have been carried out, and how recently, for example (see sections 4.2 and section 6). It is apparent to one skilled in the art that the limitation in this claim does not depart from the spirit and scope of the disclosure of **Wilhelml et al.**. Therefore claims 29 and 32 are rejected on the same rationale as the rejection of claim 1.

As per claim 30, Iwamura discloses the limitation of where the client input includes a message and a specification of the appropriate entities who can read the message, for example (see columns 10-12). The limitation of encrypted the output based on client input to prevent data from being read is disclosed by both references as discussed above. The verifying step of message from the client by the server is also disclosed above. Therefore, **Iwamura** substantially discloses the limitation of where: the client can specify whether the interaction is a read interaction or a write interaction; for a write interaction: the client input includes a message M and a specification S of the appropriate entities who can read this message; the co-server retains M and S by storing them in some combination across the co-server and server via an algorithm that generates new co-server state based on said current co-server state and said inputs, the internal state in the co-server and co-server algorithm that generates output to said server based on said current co-server state and said inputs; however in said write interaction: any portion of

Art Unit: 2136

M sent via co-server algorithm that generates output to said server based on said current co-server state and said inputs is encrypted, so that the server cannot access the plaintext; and mechanisms are used to ensure that, when the co-server later retrieves any of this data from the server, that the data has not been changed; for a read interaction: the client input specifies which message M the client would like to read, the co-server retrieves S; if the client satisfies S, then the co-server sends M back to the client, after first retrieving and decrypting it, if necessary, for example (see columns 10-12).

6. **Claims 6 and 25** is rejected under 35 U.S.C. 103(a) as being unpatentable over US Patent 6,453,296 to **Iwamura** in view of Non-Patent Literature: **Wilhelml, U., et al.** "Introducing Trusted Third Parties to the Mobile Agent Paradigm" Institute pour les Communications informatiques et leurs Applications, Ecole Polytechnique Fédérale de Lausanne, 1015 Lausanne, Switzerland, Pages 1-21 as applied to claims 1-19 above, and further in view of US Patent 6,714,982 to **McDonough et al.**

As per claims 6 and 25, both references substantially teach the claimed method of claim 1. **Wilhelml et al.** also discloses preventing malicious service. Scanning message for virus before transmission is well known in the art and does not depart from the spirit and scope of the disclosure of **Wilhelml et al.** Claim 22 is rejected on the same rationale as the rejection as claim 1. **McDonough et al.** in an analogous art teaches determining whether input which has potentially executable content is free of viruses, for example (see column 4, lines 45-55) in order to provide additional security. **McDonough et al.** also discloses where the evaluation function is

Art Unit: 2136

parameterized by a "signature file" and where the client output includes an identification of which signature file was used in this interaction, for example (see column 4, lines 31 et seq.). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the method as combined above to determine whether server input which has potentially executable content is free of viruses in order to provide additional security as taught by **McDonough et al.** This modification would have been obvious because one skilled in the art would have been motivated by the suggestions provided by **McDonough et al.** in order to provide additional security.

7. **Claims 43-44** are rejected under 35 U.S.C. 103(a) as being unpatentable over US Patent 6,453,296 to **Iwamura** in view of Non-Patent Literature: **Wilhelml, U., et al.** "Introducing Trusted Third Parties to the Mobile Agent Paradigm" Institute pour les Communications informatiques et leurs Applications, Ecole Polytechnique Fédérale de Lausanne, 1015 Lausanne, Switzerland, Pages 1-21 as applied to claim 1 and further in view of US Patent 6,748,528 to **Greenfield**.

As per claims 43-44, Iwamura discloses in different embodiments the step of a server sending price to a co-server and the co-server (agency) encrypting the transaction information to allow a secure transaction to be held and be verified between the client and the shop (see column 3, line 45 through column 4, line 55; column 8, lines 1-10 and column 9, lines 20-67). **Iwamura** discloses the steps of using a co-server for verifying client authentication information and directing the client to a server and providing the server with an authentication token that the

Art Unit: 2136

client has properly authenticated (see column 9, line 21 through column 10). This limitation is also well known in the art as used in Kerberos ticket system (see Schneier's disclosure).

Wilhelml et al discloses installing co-server application software into a secure platform having ability to authenticate itself using key pair (see sections 2-3 and sections 4). The co-server application software may be installed by an operator or by the owner and discloses use of public key to verify that the agents and the co-servers are trusted entities (see sections 4). Neither of the references explicitly discloses usage of SSL certificate authority for issuing a certificate for verification of the public key, which is very well known in the art. **Greenfield** in an analogous art discloses a server application along with a certificate obtaining from a well known SSL certificate authority for secure communication with the client; (see column 5, lines 9-15, lines 20-30 and line 43 through column 6, line 14); **Greenfield** also discloses a client initiating SSL session with a secure server for verification of new generated key pair (see column 7, lines 40-53). **Greenfield** further discloses a client opening SSL session with a certificate authority and providing key to be used for establishing subsequent communications with different servers (see column 2, lines 50-67 and column 3, lines 34-67). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the method of securing on-line electronic transaction as combined above to establish a secure SSL communication sessions using a browser communicating with an SSL certification authority to obtain certificate attesting to a public key so that both parties can be authenticated, for instance the client can verify that the server (identified by its URL) is trusted because it is the entity associated with the server public key provided to the client as taught by **Greenfield**. One skilled in the art would have been motivated by the suggestions provided by **Greenfield** because a secure SSL

Art Unit: 2136

communication session has the benefit of establishing a secure SSL communication session where both parties can be authenticated, for instance the client can verify that the server (identified by its URL) is trusted because it is the entity associated with the server public key provided to the client (see column 1, lines 35-67).

Conclusion

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure as the art discloses the use of co-servers and secured commercial transaction. Many of the claimed features are disclosed in these references.

US Patents:	5,848,161	Luneau et al.
	5,990,199	Krajewski, Jr. et al.
	6,202,157	Brownlie et al.
US Patent Publication	US 2002/0111997	Herlihy

8.1 Any inquiry concerning this communication or earlier communications from the examiner should be directed to Carl Colin whose telephone number is 571-272-3862. The examiner can normally be reached on Monday through Thursday, 8:00-6:30 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on 571-272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2136

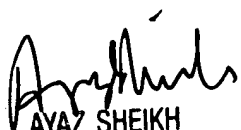
Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

cc

Carl Colin

Patent Examiner

August 19, 2005


AYAZ SHEIKH
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100